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PARISDate July 15, 2005 Client-Matter 74622-060  
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## Fax Transmittal

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Fax No.: 703-872-9306

Company: United States Patent and Trademark Office - Group Art Unit 3624 Voice No.: (571)272-6746

## Message

Re: Inventor : Mark C. Zeltoun  
Serial No. : 10/825,156  
Filing Date : April 16, 2004  
Title : FINANCIAL INVESTMENT ADVICE SYSTEM AND METHOD  
Att'y Docket : 74622-060

Attached please find the following:

- 1) Power of Attorney and Correspondence Address Indication Form
- 2) Statement Under 37 CFR 3.73(b)

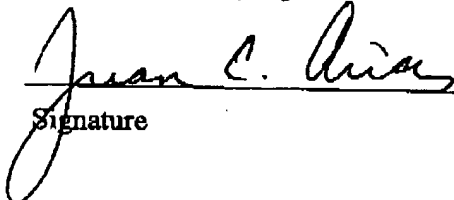
Please contact John C. Stellabotte at (212) 969-3413 if you have any questions.

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<b>POWER OF ATTORNEY and CORRESPONDENCE ADDRESS INDICATION FORM</b>	<b>Application Number</b>	10/825,158
	<b>Filing Date</b>	April 18, 2004
	<b>First Named Inventor</b>	Mark C. Zeltoun
	<b>Title</b>	FINANCIAL INVESTMENT ADVICE SYSTEM AND METHOD
	<b>Art Unit</b>	3824
	<b>Examiner Name</b>	Charles R. Kyle
	<b>Attorney Docket Number</b>	74622-060

I hereby appoint:

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☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71. Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/06)

**SIGNATURE of Applicant or Assignee of Record**

Signature	Date
[Signature]	7/15/05
Name	Telephone
Gregg J. Goldman	203.719.3099
Title and Company	
Director and Senior Counsel, UBS Financial Services, Inc.	

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☐ \*Total of \_\_\_\_\_ forms are submitted.

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**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Marc C. Zeitoun, et al.Application No./Patent No.: 10/825,156 Filed/Issue Date: April 16, 2004Entitled: **FINANCIAL INVESTMENT ADVICE SYSTEM AND METHOD**

UBS Financial Services, Inc. a Corporation  
 (Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

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 The extent (by percentage) of its ownership interest is \_\_\_\_\_ %

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A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

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B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

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The undersigned (whose title is specified below) is authorized to act on behalf of the assignee.

Signature

Gregg I. Goldman

Printed or Typed Name

Director and Senior Counsel, UBS Financial Services, Inc.

Title

Date

7/16/05  
203 719 3099

Telephone Number

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